

## Project Retain Institutional Survey

### Section 1 - Introduction

#### About the survey

**The aim of this survey is to understand whether research institutions have put in place policies and support in a number of areas.**

**The survey asks about the following topics:**

- **Copyright of research publications - how intellectual property that protects original works of authorship applies to the written outputs of research.**  
Specifically:
  - **Whether the initial ownership of copyright is with authors or their employing organisation**
  - **What rights are transferred from authors to publisher.**
- **Author rights retention - the extent to which researchers retain rather than transferring control of their published research.**
- **Open licensing - the promotion of licenses which grant permission to access, re-use and redistribute.**
- **Reuse of research publications - ensuring that the written outputs of research can be reused, by the community as a whole but also by the original author in new contexts.**

#### About Project Retain

**Project Retain is a one-year project led by SPARC Europe as part of The Knowledge Rights 21 (KR21) Programme, which aims to promote change in European copyright law, in this case, to support Open Access.**

**Research on rights retention and open licensing in Europe will underpin a campaign to develop copyright policy to support authors. Please help us in this aim by filling in the survey.**

Project Retain Institutional Survey

Section 2 - Completing the survey

**We are very grateful to you for completing this survey which will take approximately 10 minutes.**

**The survey is aimed at research institutions; please complete just one response per organisation.**

**Only those questions marked with an asterisk \* are mandatory.**

**You can download the PDF of the survey here: <link>**

**Answers will be analysed as part of a report to be published in 2023; personal data will be removed before the dataset is deposited on Zenodo with a CC0 licence. Please note institutional names will remain in the published dataset.**

**For more information on our privacy policy, see <https://sparceurope.org/privacy-policy/>**

**This survey is managed by SPARC Europe.**

**If you have any questions, please mail us at [survey@sparceurope.org](mailto:survey@sparceurope.org)**

**The survey will close at the end of 11 November 2022.**

\* 1. I understand and agree to participate in this survey

Yes

No

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About you and your organisation

\* 2. Where is your organisation based?

\* 3. Type of organisation (please select one)

- Research-intensive university
- Non-research-intensive university / college
- Technical university
- Independent research organisation
- Distance learning university
- Other higher education institution
- Other post-secondary institution
- Other (please specify)

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About you and your organisation

\* 4. Name of your organisation

\* 5. Your department (please select one)

- Library
- Legal Office
- Policy unit
- Research office
- Technology / Information Systems
- Other (please specify)

\* 6. Your role / job title

Project Retain Institutional Survey

Contacting you

\* 7. Would you like us to share a link to the report and results of the survey when they are published in 2023?

Yes

No

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Contacting you

\* 8. Name

\* 9. Email

10. Are you willing for Project Retain to contact you directly to take part in a follow-up interview or focus group?

Yes

No

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Contacting you

\* 11. Are you willing for Project Retain to contact you directly to take part in a follow-up interview or focus group?

Yes

No

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Contacting you

\* 12. Name

\* 13. Email



Project Retain Institutional Survey

Your understanding and awareness

**This section asks questions about your familiarity in a number of areas related to copyright, open licensing and author rights.**

14. How familiar are you with the following areas (please select one answer per area):

	Very familiar	Familiar	Neither familiar nor unfamiliar	Unfamiliar	Very unfamiliar
Open Access publishing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Copyright of research publications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Author rights retention	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Open licensing	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Reuse of research publications	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

15. How familiar are you with the following specific policies or types of policy (please select one answer each):

	Very familiar	Familiar	Neither familiar nor unfamiliar	Unfamiliar	Very unfamiliar
cOAlition S rights retention <a href="#">strategy</a>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Institutional policies covering author rights retention - for example <a href="#">Harvard</a> or <a href="#">Edinburgh</a>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
Publisher policies covering author rights and licensing, for example <a href="#">De Gruyter</a> and <a href="#">Elsevier</a>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

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Your understanding and awareness

\* 16. The initial ownership of copyright of research publications may be held by researchers or the institution that employs them, depending on the law in the country and institutional policies.

How familiar are you with the legal position on initial copyright ownership for research publications in your country?

- Very familiar
- Familiar
- Neither familiar nor unfamiliar
- Unfamiliar
- Very unfamiliar

Project Retain Institutional Survey

Your understanding and awareness

17. Who owns the initial copyright for research publications in your country? (please select one answer)

- Author
- Employing institution
- Don't know
- Other (please specify)

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Your understanding and awareness

18. If you wished to understand the copyright ownership of research publications in your institution's country, where would you seek further information? (please select all that apply)

- National copyright interest group
- National Open Access support organisation
- Institutional Open Access support
- Legal Office or adviser
- Library
- Research support office
- Other (please specify)

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Organisational support for researchers

**This section asks about whether your institution provides support to researchers in the areas covered by this survey.**

\* 19. Does your organisation offer support to researchers in any of the following areas?  
(please select all that apply)

- Copyright of research publications
- Author rights retention
- Open licensing
- Reuse of research publications
- Don't know
- None of the above

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Organisational support for researchers

20. What form does this support take? (please select all that apply)

- General queries on Open Access and Open Science
- Detailed queries about our institutional policies
- Detailed queries on funder policies
- Detailed queries on publisher policies
- Detailed queries on open licensing
- Advice on authors' copyright ownership
- Negotiation with publishers on behalf of researchers
- Don't know
- Other (please specify)



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Organisational support for researchers

22. Which of these department or departments have responsibility for the provision of support in different areas? (please select all that apply)

	Library	Knowledge transfer / Intellectual Property Office or equivalent	Research office or equivalent	Legal	Don't know
Copyright of research publications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Author rights retention	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Open licensing	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reuse of research publications	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Don't know	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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Organisational support for researchers

23. If you can provide us with any further research or information with respect to your answers to questions on the support you provide support, then please describe it here and provide links where possible



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Organisational policies - copyright of research publications

\* 25. Does your organisation have a policy or policies which address the copyright of research publications? (please select one)

- Yes
- In development
- No
- Don't know

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Organisational policies - copyright of research publications

26. In which of the following types of policy does your organisation address copyright of research publications? (please select all that apply)

- Copyright of research publications (ie dedicated policy)
- Copyright or intellectual property (ie general policy)
- Publishing
- Open Access
- Open Science
- Open licensing
- Reuse of research publications
- Don't know
- Other (please specify)

27. Please provide links to these policies.

28. When were policies covering copyright of research publications first introduced by your organisation?

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Organisational policies - copyright of research publications

29. Does your institution monitor whether researchers comply with policies regarding copyright of research publications?

- Yes
- No
- Don't know

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Organisational policies - copyright of research publications

30. To what extent do researchers comply with your organisation's policy on copyright of research publications? (please select one)

- Almost always
- Often
- Sometimes
- Rarely
- Almost never
- Don't know

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Organisational policies - copyright of research publications

31. Does your organisation assert ownership of copyright of research publications?

- Yes
- No
- Don't know

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Organisational policies - copyright of research publications

32. Please describe in as much detail as you can the current status of the policy on copyright of research publications, when you expect it will be published, and why it has not been to date.



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Organisational policies - copyright of research publications

33. Please tell us in as much detail as you can as to whether your institution has considered introducing policies relating to copyright of research publications and why to date it has not done so.

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Organisational policies - rights retention

\* 34. Does your organisation have a policy or policies which address author rights retention?

- Yes
- In development
- No
- Don't know

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Organisational policies - rights retention

35. Which of the following policies does your organisation have which cover rights retention? (please select all that apply)

- Rights retention (ie dedicated policy)
- Copyright of research publications (ie dedicated policy)
- Copyright or intellectual property (ie general policy)
- Publishing
- Open Access
- Open Science
- Open licensing
- Reuse of research publications
- Don't know
- Other (please specify)

36. Please provide links to polices covering rights retention.

37. When were policies covering rights retention first introduced by your organisation?

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Organisational policies - rights retention

38. Does your institution monitor whether researchers are complying with policies regarding rights retention?

- Yes
- No
- Don't know

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Organisational policies - rights retention

39. To what extent do researchers comply with your organisation's policy on copyright of research publications? (please select one)

- Almost always
- Often
- Sometimes
- Rarely
- Almost never
- Don't know

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Organisational policies - rights retention

40. Please describe in as much detail as you can the current status of the policy on author rights retention, when you expect it will be published, and why it has not been to date.

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Organisational policies - rights retention

41. Please tell us in as much detail as you can as to whether your institution has considered introducing policies relating to author rights retention and why to date it has not done so.

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Organisational policies - open licensing

\* 42. Does your organisation have a policy or policies which address open licensing?

- Yes
- In development
- No
- Don't know



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Organisational policies - open licensing

43. Which of the following policies does your organisation have which cover open licensing? (please select all that apply)

- Open licensing
- Copyright of research publications (ie dedicated policy)
- Copyright or intellectual property (ie general policy)
- Publishing
- Open Access
- Open Science
- Reuse of research publications
- Don't know
- Other (please specify)

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Organisational policies - open licensing

44. Do your organisation require authors to publish using Creative Commons or equivalent licenses?

- Yes - we require them
- Yes - we recommend them
- No
- Don't know

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Organisational policies - open licensing

45. Which licenses do you specify? (please select all that apply)

- CC0
- CC BY
- CC BY-SA
- CC BY-NC
- CC BY-NC-SA
- CC-BY-ND
- CC-BY-NC-ND
- Don't know
- Other (please specify)

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Organisational policies - open licensing

46. Please describe in as much detail as you can the current status of the policy on open licensing, when you expect it will be published, and why it has not been to date.

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Organisational policies - open licensing

47. Please tell us in as much detail as you can as to whether your institution has considered introducing policies relating to open licensing and why to date it has not done so.

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Organisational policies - reuse of research publications

\* 48. Does your organisation have a policy or policies which address reuse of research publications?

- Yes
- In development
- No
- Don't know

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End of the survey

49. Please tell us what would help your organisation to strengthen its position on rights retention and copyright of research publications. (word missing)

In particular, we are interested to hear:

- whether there are any internal barriers or challenges to introducing policies
- what can funders and / or publishers do to provide support

50. Thank you very much for taking the time to complete this survey - is there anything else you would like to add?